

Administration

Employee  
Responsibilities

Reliability Programs

**Personnel Assurance Program (PAP)**

- PROGRAM DESCRIPTION:** .01 The Personnel Assurance Program (PAP) provides management guidance in the selection of individuals for assignment to nuclear explosives duties. The Department of Energy (DOE) must certify employees selected for access to nuclear explosives as suitable for such assignment in accordance with the procedures and requirements of DOE Order 5610.11, Nuclear Explosives Safety. At the Laboratory, the Engineering Sciences and Applications (ESA) Division administers the PAP. Employees in PAP are exempt from the requirements of the Personnel Security Assurance Program (PSAP).
- PARTICIPATION:** .02 Participation in the PAP is entirely voluntary. Participants are not forced to enter and may leave at any time if they no longer wish to participate; however, only PAP-certified personnel may perform nuclear explosives duties.
- Selection** .03 Employees are generally not hired with the express purpose of entering the PAP. PAP employees are selected from the work force after careful observation of work habits and stability. The manager must be certain the employee is completely qualified before asking him or her to participate.
- CERTIFICATION:** .04 The following paragraphs describe the certification process in chronological order.
- Basic Requirements** .05 To participate in the PAP, the employee must have
- A valid Q clearance,
  - A minimum of 1 year's relevant experience, and
  - A DOE security file that contains no derogatory information.

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| <b>Initiation of Request</b> | .06 | Based on the need for additional PAP participants and the employee's observed work habits and technical and operational qualifications, experience, and training, the employee's supervisor initiates a request in writing to the ESA Division Director or designee, who chairs the PAP Committee. The request must state the qualifications, experience, and training of the employee.   |
| <b>Briefing and Forms</b>    | .07 | After determining the employee's willingness to join the PAP, the supervisor and Group Leader brief the employee on the importance of the assignment and the nature and objectives of the PAP. The employee receives the "Acknowledgment and Agreement to Participate in the PAP" and the "Authorization and Consent to Release Personal Records in Connection with the PAP" forms. PAP processing cannot continue until the employee has signed both forms.                                  |
| <b>PAP Committee Review</b>  | .08 | The committee consists of the PAP physician from the Occupational Medicine (ESH-2) Group, one representative from the Workforce Diversity and Human Resources Information Systems (WD/HRIS) Group in Human Resources (HR) Division, and one from ESA Division.  |
|                              | .09 | The committee members receive and review the nominated employee's records before the meeting begins. <del>✕</del> ESA Division has requested in advance <del>✕</del> that the employee's DOE security file be reviewed for any <del>✕</del> derogatory information. This information is given directly to the DOE Los Alamos Area Office (LAAO) Manager who is the certifying official. An employee whose file does contain derogatory information must not be considered for a PAP position. |
|                              | .10 | The employee's supervisor discusses the employee's job description and any recent significant events in the employee's life. The physician consults Laboratory medical records for relevant information. Other committee members also discuss the individual from their perspective. If the pooled data is satisfactory, the committee  |

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members (except for the physician) sign the “Los Alamos Personnel Assurance Program” form.

### Medical Evaluation

- .11 PAP candidates receive a comprehensive medical evaluation & with appropriate laboratory tests and other procedures to determine their physical, mental, emotional, and behavioral status. This evaluation & determines whether the candidate has a condition that could prevent him or her from performing nuclear explosive duties in a safe and reliable manner.
- .12 **Psychological Testing** — All PAP candidates and employees undergo psychological assessment. Employees entering the program take a written psychological test before initial certification. Other testing may be scheduled if deemed necessary by the PAP physician.
- .13 **Form** — Following satisfactory completion of the medical evaluation &, the PAP physician signs the “Los Alamos Personnel Assurance Program” form. An unsatisfactory physical or psychological examination usually terminates the certification process.

### Drug Testing

- .14 Candidates for a PAP position must complete a drug test with negative results before initial certification. Testing is performed through the Safeguards & Security Reliability Programs Office (OS/RPO) for Los Alamos employees. The Reynolds Electric and Engineering Co., Inc. (REECO) medical personnel test employees who work at the Nevada Test Site (NTS) or in Las Vegas at REECO’s NTS medical facility &. The Medical Review Officer (MRO) at Los Alamos reviews all test results. See [AM 110, Substance Abuse](#), for a discussion of the role of the MRO. Any record of prior substance abuse by a candidate will preclude assignment to a PAP position without specific approval by the Director or his designee.

**NOTE:** PAP incumbents are & randomly selected for drug testing at least once each year they remain in the program. See [.90-.103 and AM 110, Substance Abuse](#).

### Request for Certification

- .15 The PAP Committee Chair prepares a letter to the DOE/LAAO Manager citing the reviews that have taken place and requesting that the employee be

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certified in PAP. The signed and completed "Los Alamos Personnel Assurance Program" form accompanies the letter. The DOE PAP coordinator at LAAO reviews this form and ensures that the DOE personnel security file has been reviewed and that all other certification requirements have been met.

### Certification

- .16 The employee's inclusion in the PAP is final when the PAP Committee Chair receives a letter of certification from the DOE/LAAO Manager. LAAO also sends notification of the certification to the DOE Albuquerque Field Office (AL) and the DOE Nevada Office (NV) so that these sites can maintain up-to-date PAP certification lists.

### ANNUAL RECERTIFICATION:

- .17 The PAP Committee Chair is responsible for the timely recertification of PAP employees. The date of initial certification is the employee's anniversary date. Annual recertification must occur on or before this date. Those who have not been recertified by their anniversary date must be removed from the PAP list until recertification is complete. To be recertified, the employee must meet annual training requirements, have a satisfactory committee review and medical evaluation ~~evaluation~~, and receive approval from DOE/LAAO.

### TEMPORARY REMOVAL FROM A PAP POSITION:

- .18 Under certain circumstances (usually involving the employee's physical or emotional condition), managers can temporarily remove PAP employees from the work place. After such a removal, the manager must notify the PAP Committee Chair, who makes other necessary notifications. Depending on the circumstances of the removal from nuclear explosives duties, the employee may be reassigned to other duties or may be removed from Laboratory premises pending final resolution. Final resolution may involve permanent removal from the PAP.

### DECERTIFICATION:

- .19 If a PAP-certified employee changes job assignments and no longer has nuclear explosive duties, he or she is removed from PAP status. Removal from PAP under these conditions in no

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way reflects on the suitability of the individual. To ensure that the PAP population is as small as required to carry out the Laboratory mission, only active participants are maintained in the program. Employees decertified for other reasons may appeal the action to DOE. The appeal procedure is described in DOE Order 5610.11 *see the [DOE Directives Home Page](#)*.

### TRAINING:

- .20 The PAP Committee Chair or designee schedules PAP training for all PAP supervisors, employees, and members of the medical staff involved in PAP operations. Records maintained on the training include a list of personnel attending each session and the date of the session. Attendance at one of the training sessions is mandatory.

### PAP RECORDS:

- .21 The PAP Committee Chair maintains the following records on each PAP employee:
- Request for initial certification from the employee's supervisor,
  - The date of initial certification,
  - A copy of the current "Los Alamos Personnel Assurance Program" form that has been signed by all participants, and
  - A copy of the current letter of certification from DOE.

The Laboratory Medical Director maintains all medical records in a separate file.

### USE OF ALCOHOL:

- .22 PAP-certified employees are required to abstain from the consumption of alcohol the 8 hours preceding a scheduled tour of work in which nuclear explosives duties may be performed and during such period of work. ✂

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- SICK LEAVE FOR 5 OR MORE DAYS:** .23 As with all employees, a PAP employee who has been on sick leave for 5 or more consecutive days must report in person to ESH-2 physicians before returning to work. ESH-2 provides a recommendation to the employee's supervisor about the employee's ability to resume work duties.
- PRESCRIBED MEDICATION:** .24 As with all employees, a PAP employee who takes prescribed medication that may adversely affect the employee's ability to perform required work must (as described in 110) report this fact to his or her supervisor or to ESH-2 (see [AM 110](#), *Substance Abuse*.).
- DISCIPLINE:** .25 See [.102-.103](#).

## Personnel Security Assurance Program (PSAP)

### PROGRAM DESCRIPTION:

#### Purpose

- .26 DOE has developed the Personnel Security Assurance Program to ensure the highest standards of reliability for individuals with direct access to or direct responsibility for transportation of Category I quantities of special nuclear materials (SNM) or those with the potential for causing unacceptable damage to national security. Participants in the program are screened for
- An illness or mental condition that may cause a defect in judgment or reliability,
  - The use of illegal drugs, and
  - The use of alcohol habitually to excess.

The objective of the process is to reduce the potential "insider" threat to an acceptable level.

#### Clearance

- .27 Individuals in PSAP are already Q cleared and are granted an additional PSAP access authorization that must be renewed annually. The PSAP access authorization is separate from the Q clearance and can be removed without affecting the Q clearance. However, if the Q clearance is suspended or revoked, the PSAP authorization is automatically revoked.

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### Assignment

- .28a Group-level management recommends inclusion of specific positions into PSAP based on the definitions of direct access and unacceptable damage (.30 and .31 below). All line managers of persons in PSAP are included in PSAP, including the Laboratory Director.
- .28b To ensure that PSAP includes only those positions that meet the PSAP criteria, a thorough review and analysis of the adequacy of access controls is performed periodically by the Projects, Plans, and Policy Group (FSS/OS-10). When more restrictive physical, administrative, or compartmentalized controls can be implemented such that specific positions need not be designated as PSAP, these controls are implemented if cost effective.

### Definitions

- .29 **PSAP Access Authorization** — A designation, granted by DOE security, reserved for individuals who occupy PSAP positions.
- .30 **Direct Access** — Access to Category I quantities of SNM during normal duties that would permit an individual to remove or misuse such material in the course of routine unescorted access even with the controls established to prevent such unauthorized actions, including the “two-man rule.” Misuse of such material could include an environmental release or a diversion that would affect normal Laboratory processes.
- NOTE:** Escorted access includes a PSAP-approved escort and no hands-on access to Category I quantities of SNM.
- .31 **Unacceptable Damage** — An incident with a significant impact on national security that could result in the interruption of nuclear weapons production for 1 year or more.
- .32 **Derogatory Information** — As defined in the Code of Federal Regulations, 10 CFR 710.11, derogatory information covers 12 categories of information, which include the use of alcohol habitually to excess, the use of illegal drugs, and any behavior that indicates unreliability or lack of judgment.

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- .33a **Question** — Two kinds of questions may be developed during the PSAP authorization process:

*Medical Question* - Any condition that could prevent the individual from performing the essential functions of a PSAP position in a safe or reliable manner as identified by the Site Occupational Medical Director or designee. These questions about the physical or mental condition of the individual are normally not reported to DOE unless they cause the individual's removal from the PSAP position.

*Question Related to a Security Concern* - The presence of information (including evidence of substance abuse) that may be considered derogatory under the criteria in 10 CFR 710.11 about an individual applying for or holding a PSAP access authorization. See [AM 702, Security](#).

Only DOE can determine whether a security concern involves derogatory information. The Laboratory cannot determine whether such a question will or will not affect PSAP authorization.

**EXCEPTION:** Confirmed substance abuse is always derogatory information.

- .33b **PSAP Change Form** — A form providing all pertinent information for the PSAP database, used for all new hires, transfers, changes, and removals.
- .34 **PSAP Supervisor** — For the purposes of this policy, the PSAP supervisor is the first-line supervisor (Team Leader, Group Leader, etc.) of any individual in or being considered for a PSAP position. An acting supervisor has the same authority as the supervisor to make PSAP-related decisions.
35. **PSAP Manager** — For the purposes of this policy, the PSAP manager is normally the second-level (group or division) manager of any individual in or being considered for a PSAP position. An acting manager has the same authority as the manager to make PSAP-related decisions.
- .36 **PSAP Selecting Official** — The manager who makes the final employment decision at the



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Laboratory about an individual seeking a PSAP position, usually the group-level manager.

- .37 **Site PSAP Administrator** — The individual who administers PSAP at the Laboratory, who acts as a central point of contact for PSAP matters, and who coordinates activities within the Laboratory and between subcontractors and the Laboratory and the Laboratory and DOE. The Site PSAP Administrator is the Office Leader of the Safeguards & Security & Reliability Programs Office (OS/RPO).
- .38 **PSAP Approving Official** — A senior DOE official appointed by the DOE Albuquerque Field Office (AL) Manager to review all relevant information as part of the authorization process described below.
- .39 **Site Occupational Medical Director** — A physician responsible for the overall direction and operation of an occupational medicine program who reviews medical information obtained during PSAP authorization. At the Laboratory, the Group Leader of the Occupational Medicine Group (ESH-2) or designee performs this function.
- .40 **Medical Review Officer (MRO)** — A specially trained physician in ESH-2 who evaluates all & results returned from the Department of Health and Human Services (DHHS)-certified laboratory that tests urine samples.
- .41 **Drug Testing** — For PSAP, both a preplacement test and random testing using urinalysis performed under controlled conditions are required to ensure that individuals holding PSAP positions are drug free.
- .42 **Scope** — The following individuals may be subject to PSAP provisions:
  - Incumbent* - A Laboratory employee who has or can acquire a Q clearance holding a position designated as a PSAP position by that employee's management.
  - Internal Transfer* - A Laboratory employee who has or can acquire a Q clearance holding a position not designated as a PSAP position who is applying for a PSAP position.
  - External Applicant* - An individual applying for a PSAP position who is not a Laboratory

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employee. The external candidate may or may not already hold a Q clearance.

*See also the corresponding definitions in [AM 004](#), Definition of Terms.*

### Components of the Program

- .43 The PSAP involves four components: supervisory review, medical evaluation, management evaluation, and security determination. To be granted a PSAP access authorization, an individual must

Complete the waiver (DOE F 5631.37) and the PSAP acknowledgement (DOE 5631.36) forms,

Undergo ~~✂~~ a medical evaluation,

Complete Part II of the Questionnaire for Sensitive Positions (QSP),

Participate in preplacement and random drug testing,

Have a completed and approved Form DOE F 5631.35, U.S. Department of Energy Personnel Security Assurance Program (PSAP) Management, Medical, and Security Report (MM&S form), on file, and

Have a completed PSAP Change Form signed by the hiring official.

### MM&S Form

- .44 The following 5 reviewers must sign the MM&S form for each individual to be placed in or to continue in a PSAP position: PSAP supervisor (see [.34](#)), Site Occupational Medical Director (see [.39](#)), PSAP manager (see [.35](#)), and DOE security. The fifth signature on the MM&S form is ~~✂~~ the PSAP Approving Official (see [.38](#)) who makes a decision to grant/continue or to deny/revoke the access authorization based on a DOE assessment of security concerns that may have been developed in the course of the reviews.

### EXTERNAL APPLICANTS:

#### Advertising

- .45 The Site PSAP Administrator and the PSAP manager decide if a vacancy is a PSAP position. When the organization with such a vacancy submits an Employment Requisition, it must designate the vacancy as a PSAP position. When the Employment Representative in the Staffing Group

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receives an Employment Requisition for a PSAP position, he or she ensures that the PSAP requirements are included in the job ad.

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| <b>Interview</b>            | .46 | During the interview, the hiring official must explain PSAP and ask the applicant to sign the waiver and release forms.   |
| <b>Selection</b>            | .47 | The hiring official makes a selection from among those interviewees who met the minimum qualifications and notifies the Employment Representative, completes the hiring package, includes the signed waiver and consent forms, and forwards it to the Employment Representative for normal processing. The job offer is contingent upon the selected candidate's satisfactory completion of the medical evaluation <del>and</del> and the drug test and upon receiving the PSAP access authorization. |
| <b>Preemployment Screen</b> | .48 | Before making an offer to the selected candidate if the candidate is not Q cleared, the Employment Representative initiates a PSAP preemployment screen covering the last 10 years. This preemployment screen is separate from and unrelated to the investigation DOE conducts for the security clearance. An offer of employment is not made until the preemployment screen is completed and no security concerns are found.   |
| <b>Offer</b>                | .49 | The Employment Representative extends a written offer of employment after all line management and administrative preemployment approvals have been obtained.  |
| <b>Medical Evaluation</b>   | .50 | The medical <del>evaluation</del> <del>and</del> consists of a medical history, a battery of medical tests, and a <del>physical</del> <del>and</del> evaluation that includes evaluation for evidence of alcohol abuse or substance abuse and an evaluation for evidence of impaired judgment or reliability.   |
| <b>Drug Testing</b>         | .51 | For information on drug testing, see <a href="#">.90-.103</a> .   |

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- Laboratory Approval** .52 The selecting official may make a ~~written~~ request in the hiring package to hire the selected individual before the Q clearance and the PSAP access authorization have been granted. The organization must plan appropriate duties because the individual may not occupy a PSAP position until DOE grants the Q clearance and the PSAP access authorization.
- MM&S Form** .53 After the offer is accepted and the preemployment screen is completed, the hiring official signs Section A of the MM&S form, based on a memo from the Staffing Group that summarizes the results of the preemployment screen (see .48), and forwards the form to the Site PSAP Administrator along with a completed PSAP Change Form adding the new employee to PSAP. The Site PSAP Administrator coordinates obtaining the necessary signatures from the Site Occupational Medical Director or designee and the appropriate PSAP manager.
- Training** .54 As soon as possible after the date of hire, the new hire receives PSAP training. See [.76](#).
- DOE Approval** .55 The Site PSAP Administrator processes the PSAP materials and forwards the MM&S form to DOE security for a security recommendation. The PSAP Approving Official then makes final determination whether to grant a PSAP access authorization based on the candidate's QSP and MM&S form.
- Status Notice** .56 After receiving the DOE PSAP Approving Official's determination, the Site PSAP Administrator sends a notice of the determination to the PSAP supervisor and the new hire.
- INTERNAL TRANSFERS** .57 Processing of an internal transfer into a PSAP position follows the procedures for external applicants except for the 10-year preemployment screen. Internal transfers complete Part II of the QSP and must be approved in PSAP by DOE before the transfer can take place (*see also* [.52](#)). The hiring official completes a PSAP Change Form adding the transferred employee to PSAP.

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### INCUMBENTS IN PSAP POSITIONS:

#### Notification

- .58 When the supervisor identifies a position held by an incumbent that meets the PSAP requirements, the supervisor notifies the Site PSAP Administrator by sending a PSAP Change Form countersigned by the group-level manager. Processing follows the same procedures as for internal candidates.

**NOTE:** Incumbents may not perform PSAP duties or have access to Category I SNM until they receive PSAP approval.

- .59 ***Refusal to Participate*** — An incumbent in a position that meets the PSAP criteria who does not wish to participate in PSAP signs the Refusal of Consent form (Form DOE F 5631.38). An employee who refuses to consent has 2 options. If a non-PSAP position is available within the organization, the incumbent's division-level manager may place the incumbent in that position through a directed transfer in coordination with the Staffing Group. If no other non-PSAP position is available or if the division-level manager is not willing to transfer the employee, the incumbent is then responsible for applying and being selected for a non-PSAP position elsewhere in the Laboratory. If such a position is not available, the incumbent is terminated.

#### Annual Medical Evaluation

- .60 When the incumbent is scheduled by ESH-2 for the annual medical evaluation, he or she receives and must complete Part II of the QSP. At the same time, the Site PSAP Administrator sends the supervisor the MM&S Form for review and signature.

#### Random Testing

- .61 All incumbents are tested ~~for~~ for the use of illegal drugs at least once during each fiscal year. Split-sample testing is available at the incumbent's request. See [AM 110](#), *Substance Abuse on reanalysis*.

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| <b>MM&amp;S Form</b>                | <p>.62 For an initial approval, the supervisor completes the MM&amp;S Form after reviewing the incumbent's personnel file and attendance records. For annual approvals, the supervisor reviews any information that may indicate a derogatory concern. After medical and management approvals, the Site PSAP Administrator forwards the package to DOE security.</p>  |
| <b>Reporting Security Questions</b> | <p>.63 If the supervisor or manager believes that there is a security concern, the supervisor or manager does not sign the MM&amp;S form but discusses the problem with the Site PSAP Administrator, who may request that the supervisor or manager <del>✕</del> attach a signed explanation to the form that delineates the security concern. Only information for which there is a reasonable basis to believe may be considered a security concern.</p> <p>.64 <b>Documented Security Question</b> — If the information about the security question is documented, such as written documentation of security infractions or behavior serious enough to warrant convening a Case Review Board (if the behavior fits the definition of a security question— for example, theft or misuse of government property; see <a href="#">AM 112</a>, <i>Discipline Policy and Procedures</i>), the supervisor summarizes the documentation in a memo and sends it to the Site PSAP Administrator at OS/RPO along with the unsigned form. (If the concern involves a positive drug test, see <a href="#">AM 110</a>, <i>Substance Abuse</i>.)</p> <p>.65 <b>Review Committee</b> — If it is not clear that a security concern exists, the <del>✕</del> Site PSAP Administrator may suggest that the supervisor or manager discuss the concern with ESH-2 or the Employee Relations Group in the Human Resources Division, as appropriate. If necessary, the Site PSAP Administrator, working with the supervisor or manager, may convene a review that includes the appropriate parties. <del>✕</del></p> |
| <b>Employee Rights</b>              | <p>.66 The incumbent's manager informs the incumbent of any questions (see <a href="#">.33</a> and <a href="#">.63</a>) developed in the PSAP authorization process at the time the question arises. (See <a href="#">.79</a> for information on access to records.)</p>  |

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*Question Related to Security Concern* - If DOE determines that the concern may be derogatory information, the incumbent's due process rights are protected through the DOE hearing process described in 10 CFR 710.11.

**NOTE:** A confirmed positive drug test is a security concern.

*Medical Question* - The incumbent may appeal a concern based on medical findings by providing additional medical information to the Site Occupational Medical Director, who makes the final decision.

- .67 ***Status During Additional Review*** — The incumbent may request additional medical review for a medical question, but the incumbent's management must place him or her in a non-PSAP position during the review process. The Site Occupational Medical Director may also place the employee on Health Check (HC) during the review period. For a security question, the incumbent is removed from PSAP and is placed in a non-PSAP position.
- .68 ***Removal from PSAP*** — If an incumbent is removed from a PSAP position because of a medical question, the Laboratory's policies on temporary impairment and disability (see [AM 117](#), *Employees with Temporary Impairments*, and [AM 118](#), *Employees with Disabilities*) take effect. The employee may be referred to an Employment Specialist in the Staffing Group's alternate placement team if a non-PSAP position is not available within the incumbent's organization. If DOE suspends an incumbent's PSAP approval, the incumbent's organization tries to place him or her in a non-PSAP position, either in that organization or elsewhere in the Laboratory, and may refer the employee to the Staffing Group's alternate placement team. If DOE denies or revokes an incumbent's clearance and a non-PSAP position is not available within the incumbent's organization, the employee is referred to the Staffing Group and is placed on the 60-day track to find an uncleared position.
- .69 ***Temporary Removal from a PSAP Position*** — An incumbent, the incumbent's manager, or the Site Occupational Medical Director or designee (in

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concert with the manager) may request that the incumbent be temporarily (30-day maximum) removed from the PSAP position because of a condition that could temporarily affect the incumbent's reliability or because of a physical condition that would temporarily affect the incumbent's ability to perform his or her normal work. The manager informs the PSAP Site Administrator who in turn notifies the PSAP Approving Official.

- .70 When an individual needs to be removed from the PSAP position temporarily, management may reassign the incumbent to non-PSAP duties on a temporary basis or place him or her on Investigatory Leave (IL), if appropriate, or ESH-2 may place the incumbent on HC &. AM 117 may apply if the reason for the removal is a temporary impairment.

.71 ~~Deleted.~~

- .72 If the reason for the temporary reassignment is a security concern, the PSAP Approving Official must approve the request for reinstatement. When a temporary removal creates a vacancy in a management position, a non-PSAP-approved individual may be assigned in an acting capacity.

**NOTE:** If the employee is removed from the PSAP position because DOE has suspended or revoked his or her Q clearance, this is not considered a temporary removal. If DOE reinstates the clearance and the employee \$ returns to the PSAP position, the employee must complete the internal transfer process and receive a new PSAP access approval.

### DOE Approval

- .73 After receiving the MM&S form from the Laboratory, DOE reviews the material and makes the security recommendation. The PSAP Approving Official is the final approver of the document. After receiving notice of DOE approval or disapproval, the Site PSAP Administrator notifies the incumbent and the incumbent's supervisor.

### Incumbent Annual Review

- .74 The incumbent must receive PSAP approval on a yearly basis to remain in PSAP and to retain the PSAP access authorization. The incumbent must



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complete Part II of the QSP, be tested for drugs, and have a ✂ medical evaluation annually.

### Departure of Incumbent from a PSAP Position

- .75 When an incumbent in a PSAP position transfers, retires, terminates, or is removed from the PSAP position (permanently or temporarily), the supervisor immediately notifies the Site PSAP Administrator by sending an appropriately completed PSAP Change Form. The Site PSAP Administrator notifies the PSAP Approving Official at DOE.

### TRAINING:

- .76a Employees who will serve in a PSAP position receive initial training on PSAP requirements, policy, and procedures when they start to work in a PSAP position and recurring training on an annual basis. All PSAP employees receive training in unusual behavior recognition. All line managers with responsibility for evaluation, authorization, or approval of those in PSAP positions receive appropriate training. Personnel who are responsible for administering specific aspects of the program (medical, security, and PSAP administration) are included in PSAP and also receive training.

### QUALITY ASSURANCE:

- .76b OS/RPO is responsible for providing quality assurance assessments of all PSAP activities.

### RECORDS:

#### Maintenance

- .77 The listing of names of individuals holding PSAP positions is nonpersonal information. Other PSAP records, (results of drug testing, and the PSAP medical recommendation ✂ or ✂ security concerns) must be treated with the utmost confidentiality. The Laboratory maintains PSAP records separately from all other records in secure storage. The PSAP file is retained for 5 years after termination, transfer, or death and then is destroyed. MM&S forms are replaced annually. ✂ The most current chain-of-custody forms for the testing year are retained in the OS/RPO file. Positive test results are retained for a minimum of 5 years.

**NOTE:** Personal medical evaluation information is retained in the custody of ESH-2.

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- .78 **Location** — The Site PSAP Administrator maintains all PSAP-related records with the following exceptions:

Managers maintain only the most current PSAP records pertaining to individuals under their line responsibility in PSAP positions.

HR Division maintains normal employment records related to applications or job bids for PSAP positions.

### Access

- .79 Records access is restricted to personnel who receive approval from the Site PSAP Administrator or from the holder of the record if it is not being maintained by the Site PSAP Administrator. An employee may view the contents of his or her own file ~~and~~ except for any “confidential information”—as defined by the California Information Practices Act—that the record may contain. See [AM 628](#), *Access to Personal Information*.

### REPORTING REQUIREMENTS:

- .80a A PSAP employee reports security concerns and the unusual behavior of any PSAP-designated employee to the appropriate supervisor or manager. A supervisor notifies his or her manager immediately of a security concern relating to a PSAP-designated employee. Supervisors refer PSAP employees exhibiting unusual behavior to ESH-2 (see [AM 902](#), *Occupational Health Services*). Managers report security concerns to the Site PSAP Administrator, who reports the concern to DOE (see also [.63](#)). Security concerns include arrests and security infractions (see [AM 702](#), *Security*).

**NOTE:** PSAP regulations require that arrests be reported to the Site PSAP Administrator, even though the employee has reported the arrest through the Personnel and Information Security Group (FSS/OS-15) as required by AM 702.

### Notifications

- .80b When an employee in PSAP seeks substance- or alcohol-abuse assistance, he or she must contact the Site Occupational Medical Director or designee who then contacts the Site PSAP Administrator.

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The Site PSAP Administrator informs the line manager and notifies the PSAP Approving Official at DOE. The manager removes the employee from the PSAP position and temporarily assigns him or her to non-PSAP duties, if a position with such duties is available, or places the employee in the appropriate leave status.

### Limits of Confidentiality

- .81 If ESH-2 becomes aware of a PSAP employee who abuses alcohol, uses illegal drugs, or exhibits impaired judgment, PSAP regulations require the reporting of that information to DOE. However, if an employee seeks assistance through the EAP with a personal problem (for example, marital or work place-related conflicts), this information is maintained in confidence.

### Clearance and PSAP Authorization

- .82a DOE may conduct a hearing to determine whether to suspend the Q clearance of a PSAP-authorized employee who tests positive for drugs or alcohol or whose judgment is impaired. PSAP access is suspended pending results of the review. If DOE determines that the Q clearance should be suspended, the employee loses the PSAP access authorization. *See also* [.68](#).

- .82b DOE has stated that the employee who self refers has a greater chance of retaining his or her clearance than the employee who was referred for cause or reasonable suspicion or who tests positive in a random test. An employee who self refers and meets DOE criteria may be placed in the Employee Assistance Program Recovery Option (EAPRO) with no loss of clearance or PSAP approval.

### FIVE OR MORE CONSECUTIVE DAYS OF SICK LEAVE:

- .83 A PSAP-cleared employee who has been on sick leave for 5 or more consecutive workdays must report in person to the Site Occupational Medical Director or designee before returning to work. The PSAP employee is not ordinarily tested for drugs or alcohol at this time. The Site Occupational Medical Director or designee provides a recommendation to the employee's supervisor about the employee's ability to resume work duties. In certain circumstances (generally as a result of discipline), a PSAP-cleared employee must report

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to the Site Occupational Medical Director or designee for written recommendation to return to normal duties after any period of sick leave.

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| <b>Prescribed Medication</b>                           | .84 | When a PSAP employee who takes prescribed medication experiences reactions that could adversely affect the employee's ability to perform required work, he or she should advise his or her supervisor, either directly or through ESH-2. |
| <b>NON-LABORATORY PERSONNEL IN PSAP POSITIONS:</b>     | .85 | The group-level manager is responsible for notifying the Site PSAP Administrator if an individual who is not a Laboratory employee needs a PSAP access authorization.  |
| <b>PSAP-Approved at Home Organizations</b>             | .86 | If the non-Laboratory individual who needs PSAP access is PSAP-cleared at his or her home organization, the home organization sends the completed, approved MM&S form to OS/RPO.   |
| <b>Not Already PSAP-Approved</b>                       | .87 | If the individual is not otherwise PSAP approved, approval is sought through the normal Laboratory procedures described above for external candidates.   |
| <b>Positive Drug Test by Non-Laboratory Individual</b> | .88 | If an individual who is not employed by the Laboratory tests positive for drugs, the PSAP approval for that individual is removed, and he or she may no longer perform any job functions requiring PSAP authorization.                   |
| <b>NEW HIRES WITH CURRENT PSAP APPROVAL:</b>           | .89 | New hires who are currently PSAP-approved at another facility are transferred into the Laboratory PSAP program and follow the normal incumbent procedures for annual reviews.  |

## Reliability Programs Drug Testing

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| <b>CANDIDATE TESTING:</b> | .90 | Candidates selected for reliability programs positions must complete a drug test with negative results before placement into the position. Confirmed positive drug tests result in termination of consideration for a PSAP position. |
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## Reliability Programs

- INCUMBENT TESTING:** .91 Incumbents in PAP and PSAP are randomly tested for drugs at a rate of 125% per 12-month period.
- NOTE:** Currently, alcohol tests are administered only for cause or reasonable suspicion.
- TESTING SCHEDULE:** .92 OS/RPO is responsible for assuring a random test protocol schedule. The schedule provides for an equal opportunity of an individual being selected on any regularly scheduled workday. After testing, each employee's name is returned to the testing population, and that employee is subject to reselection. The schedule will not be released to the test population.
- PROTOCOL:** .93 Drug testing for individuals in programs with mandated drug testing is carried out according to the ~~DHHS~~ standards stated in AM 110, Substance Abuse. See [AM 110](#), Substance Abuse. The testing protocol is followed for all tests, whether through REEC<sub>o</sub> or OS/RPO.
- Notification** .94 Employees working in programs with mandated drug testing notified by OS/RPO of their selection for a drug-screen test have a reasonable amount of time in which to report to the testing facility.
- Employees Not Available** .95 Names of employees on leave or travel who cannot be tested are placed back into the pool after verification by their first-line manager. With line management approval, employees involved in a project that they cannot leave can also be excused from testing.
- TEST RESULTS** .96 Drug test results are personal information and must be protected and treated with the utmost confidentiality. See [.78](#) for the location of the records and see also [AM 628](#), Access to Personal Information.

## Reliability Programs

### Negative Results

- .97 **PSAP Employees** — OS/RPO provides written notification to the ~~&~~ PSAP manager and the employee.
- .98 **PAP Employees** — If the results are negative, the MRO certifies to the appropriate manager that the test was passed. The manager promptly provides written notification to the PAP employee.

### Positive Results

- .99 If the results are positive, the MRO discusses the test with the employee or the candidate. See [AM 110, Substance Abuse](#), for a description of the MRO's interview with the employee.
- .100 **PSAP Notification** — The MRO places the employee on HC pending completion of the MRO review and removes the employee from the PSAP position. The manager removes the employee from PSAP access and takes custody of the badge as appropriate. If the positive result can be medically explained, the employee is reinstated in PSAP position, and no further action is taken. (See [AM 110](#).) If the positive test result is confirmed by the MRO, the ~~&~~ procedures described in AM 110 for management-identified substance abuse (see [AM 110, Substance Abuse](#)) must be followed. After the confirmation of the positive results, the employee's attendance is no longer recorded as HC; HC ceases and Investigatory Leave begins.
- .101 **PAP Notification** — If the MRO cannot find a medical explanation for the positive result, the MRO notifies the appropriate manager who immediately removes the employee from his or her PAP position.
- .102 The employee is placed on Investigatory Leave and disciplinary action is initiated. See [AM 110, Substance Abuse](#).

### DISCIPLINE:

- .103 An employee who refuses the drug test is removed immediately from the PAP or PSAP position. Refusal to test is treated as insubordination.